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PTO/SB/21 (08-03)

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/750,262	
	Filing Date	December 31, 2003	
	First Named Inventor	Daniel E. AFAR	
	Art Unit	N/A	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	7	Attorney Docket Number	511582001611

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement, 3 pages <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form 1449, 3 pages Return Postcard
Remarks  <b>CUSTOMER NO. 25225</b>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	MORRISON & FOERSTER LLP Kate H. Murashige - 29,959
Signature	<i>Kate H. Murashige</i>
Date	6/15/04

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated:

6-15-04

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*Rhea Amid*

(Rhea Amid)



PATENT  
Docket No. 511582001611

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

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Rhea Amid

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Daniel E. H. AFAR et al.

Serial No.: 10/750,262

Filing Date: December 31, 2003

For: SERPENTINE TRANSMEMBRANE  
ANTIGENS EXPRESSED IN HUMAN  
CANCERS AND USES THEREOF

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 10/011,095, filed December 6, 2001, and, accordingly, copies are not included herewith. This protocol conforms with 37 C.F.R. § 1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \_\_\_ is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a check in the amount of \_\_\_ is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal form is separated from this document and the Patent Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. §1.17(p)) is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952 referencing 511582001611. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: June 15, 2004

Respectfully submitted,

By: Kate H. Murashige  
Kate H. Murashige  
Registration No. 29,959

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Form PTO-1449

Docket Number 511582001611

Application Number 10/750,262

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Applicant

Daniel E. H. AFAR et al.

Filing Date December 31, 2003

Group Art Unit To Be Assigned

Mailing Date June 15, 2004

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	12/2001	6,329,503	Afar et al.	530	350	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	2.	04/1998	EP 0 834 563	Europe			
	3.	04/1994	WO 94/09150	WIPO			
	4.	05/1998	WO 98/18489	WIPO			
	5.	08/1998	WO 98/37093	WIPO			
	6.	08/1998	WO 98/37418	WIPO			
	7.	11/1998	WO 98/53071	WIPO			
	8.	02/1999	WO 99/06548	WIPO			
	9.	02/1999	WO 99/06550	WIPO			
	10.	02/1999	WO 99/61469	WIPO			
	11.	12/1999	WO 99/62941	WIPO			
	12.	01/2000	WO 00/04149	WIPO			
	13.	02/2000	WO 00/35937	WIPO			
	14.	02/2001	WO 01/12662	WIPO			

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	15.	Haverstick et al., Cancer Research (2000) pp. 1002-1008
	16.	Diss et al., FEBS Letters (1998) 427:5-10
	17.	Grimes and Djamgoz, Journal of Cellular Physiology (1998) 175:50-58
	18.	Skryma et al., The Prostate (1997) 33:112-122

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

<b>Form PTO-1449</b> <b>INFORMATION DISCLOSURE CITATION</b> <b>IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>		Docket Number 511582001611	Application Number 10/750,262
		Applicant Daniel E. H. AFAR et al.	
		Filing Date December 31, 2003	Group Art Unit To Be Assigned
		Mailing Date June <u>15</u> , 2004	
	19.	Gutierrez et al., Journal of Physiology (1999) 517:1:95-107	
	20.	Lepple-Wienhues et al., J. Membrane Biol. (1996) 151:149-157	
	21.	Marino et al., Tumor Biol. (1994) 15:82-89	
	22.	Pancrazio et al., Cancer Research (1989) 49:5901-5906	
	23.	Nie et al., Cell Calcium (1997) 22(2):75-82	
	24.	Database EMBL Nucleotide and Protein Sequences, August 25, 1996, XP002128081, AA032221, Hinxton, GB	
	25.	Database EMBL Nucleotide and Protein Sequences, May 1, 1999, XP002128083, O95034 (clone RG041D11), Hinxton, GB	
	26.	Database EMBL Nucleotide and Protein Sequences, June 15, 1998, XP002128084, AC004969 (clone DJ1121E10), Hinxton, GB	
	27.	Database EMBL Nucleotide and Protein Sequences, May 13, 1997, XP002128082, AC002064, Hinxton, GB	
	28.	Abu-Threideh et al., EMBL/GENBANK/DBJ DATABASES, June 1998	
	29.	Abu-Threidah et al., GENBANK, (Accession No. 095034), National Library of Medicine, Bethesda MD, May 1, 1999	
	30.	Herbert et al., The Dictionary of Immunology, Academic Press, 4th edition, 1995	
	31.	Greenspan et al., Nature Biotechnology (1999) 7:936-937	
	32.	Duclert et al., GENBANK, (Accession No. Y11840), National Library of Medicine, Bethesda MD, February 11, 1999	
	33.	Cate et al., GENBANK, (Accession No. W86309), National Library of Medicine, Bethesda MD, November 1998	
	34.	Gura, Science (1997) 278:1041-1042	
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	36.	Lal et al., US Patent No. 6,048,970, May 1998, USPTO database sequence listing	
	37.	Bellone et al., Immunology Today (1999) 20(10):457-462	
	38.	Alberts et al., Molecular Biology of the Cell, 3rd edition, 1994, p.465	
	39.	Shantz and Pegg, Int. J. of Biochem. and Cell Biol. (1999) 31:107-122	
	40.	McClean and Hill, Eur. J. of Cancer (1993) 29:2243-2248	
	41.	Fu et al., EMBO Journal (1996) 15:4392-4401	
	42.	Database EMBL "Human BAC clone CTB-167B5 from 7q21, complete sequence," June 17, 1998, XP002173859 (Accession AC 003991 Waterstone, R.)	
EXAMINER:		DATE CONSIDERED:	
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PTO/SB/ 08 (2-92) sd- 203485		Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE	

<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>		Docket Number 511582001611	Application Number 10/750,262
		Applicant  Daniel E. H. AFAR et al.	
		Filing Date December 31, 2003	Group Art Unit To Be Assigned
		Mailing Date June 15, 2004	
	43.	Hubert et al., PNAS USA (1999) 96(25):14523-14528	
	44.	Burgess et al., Jnl. Cell Bio. (1990) 111:2129-2138	
	45.	Lazar et al., Mol. Cell Bio. (1988) 8(3):1247-1252	
	46.	Bowie et al., Science (1990) 247:1306-1310	
	47.	Rieger et al., Glossary of Genetics and Cytogenetics, Springer-Verlag 1976, p. 17	
	48.	International Search Report mailed on May 11, 2004, for PCT patent application no. PCT/US03/18661 filed on June 11, 2003, 3 pages.	
EXAMINER:		DATE CONSIDERED:	
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PTO/SB/ 08 (2-92) sd- 203485		Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE	